



Docket No.

18810-81351

## Declaration For Patent Application

## English Language Declaration

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

the specification of which

(check one)

☐ is attached hereto.

☒ was filed on October 15, 2001 as United States Application No. or PCT International

Application Number 09/978,146

and was amended on \_\_\_\_\_

(if applicable)

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, Section 119(a)-(d) or Section 365(b) of any foreign application(s) for patent or inventor's certificate, or Section 365(a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate or PCT International application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s)

Priority Not Claimed

(Number)

(Country)

(Day/Month/Year Filed)

☐

(Number)

(Country)

(Day/Month/Year Filed)

☐

(Number)

(Country)

(Day/Month/Year Filed)

☐

I hereby claim the benefit under 35 U.S.C. Section 119(e) of any United States provisional

\_\_\_\_\_  
(Application Serial No.)

\_\_\_\_\_  
(Filing Date)

\_\_\_\_\_  
(Application Serial No.)

\_\_\_\_\_  
(Filing Date)

\_\_\_\_\_  
(Application Serial No.)

\_\_\_\_\_  
(Filing Date)

I hereby claim the benefit under 35 U. S. C. Section 120 of any United States application(s), or Section 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. Section 112, I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37, CFR Section 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application:

\_\_\_\_\_  
(Application Serial No.)

\_\_\_\_\_  
(Filing Date)

\_\_\_\_\_  
(Status)  
(patented, pending, abandoned)

\_\_\_\_\_  
(Application Serial No.)

\_\_\_\_\_  
(Filing Date)

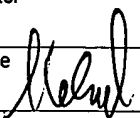
\_\_\_\_\_  
(Status)  
(patented, pending, abandoned)

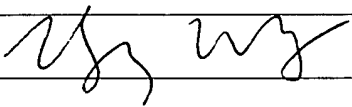
\_\_\_\_\_  
(Application Serial No.)

\_\_\_\_\_  
(Filing Date)

\_\_\_\_\_  
(Status)  
(patented, pending, abandoned)

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first inventor <b>Shlomo Melmed, M.D.</b>	1/9/02
Sole or first inventor's signature 	Date
Residence <b>9437 Cresta Drive, Los Angeles, CA 90035</b>	
Citizenship <b>U.S.A.</b>	
Post Office Address <b>same as above</b>	

Full name of second inventor, if any <b>Zhiyong Wang</b>	1/9/02
Second inventor's signature 	Date
Residence <b>1749 N. Serrano Avenue, Apt. 332, Los Angeles, CA 90027</b>	
Citizenship <b>People's Republic of China</b>	
Post Office Address <b>same as above</b>	

Full name of third inventor, if any	
Third inventor's signature	Date
Residence	
Citizenship	
Post Office Address	

Full name of fourth inventor, if any	
Fourth inventor's signature	Date
Residence	
Citizenship	
Post Office Address	

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Shlomo Melmed, M.D. and Zhiyong Wang, Ph.D.  
Serial No.: 09/978,146  
Filed on: October 15, 2001  
Title: PTTG Knockout Mice As A Model To Study Mechanisms For Various  
Physiological Phenomena, Including Diabetes



POWER OF ATTORNEY

BOX MISSING PARTS

Assistant Commissioner for Patents  
Washington, D. C. 20231  
Dear Sir:

I HEREBY CERTIFY THAT THIS CORRESPONDENCE IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE AS FIRST CLASS MAIL IN AN ENVELOPE ADDRESSED TO THE ASSISTANT COMMISSIONER FOR PATENTS WASHINGTON, D. C. 20231, ON <u>January 16, 2002</u> DATE	
BY <u>Shirley Dow</u> Shirley Dow <u>January 16, 2002</u> (DATE OF SIGNATURE)	

Dear Sir or Madam:

The undersigned assignee of the entire interest in the above-identified patent application hereby appoints the following attorneys and/or agents, Edward G. Poplawski, Esq., Reg. No. 33,439; Nisan A. Steinberg, Ph.D., Reg. No. 40,345, and Denise L. McKenzie, Esq., Reg. No. 43,790 to prosecute and transact all business in the US Patent and Trademark Office relating to this application,

Please send all future correspondence to:

Edward G. Poplawski, Esq.  
SIDLEY AUSTIN BROWN & WOOD  
555 West Fifth Street  
Los Angeles, CA 90013-1010

and direct all telephone calls to: Nisan A. Steinberg, Ph.D. at 213/896-6665; Fax (213) 896-6600.

Respectfully submitted,

CEDARS-SINAI MEDICAL CENTER

Dated: 1/10/02

Peter E. Braveman  
Senior Vice President for Legal Affairs and  
General Counsel

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY  
STATUS (37 CFR 1.9(f) AND 1.27 (d)) - NONPROFIT ORGANIZATION**

Docket No.  
18810-81351

Serial No.  
09/978,146

Filing Date  
October 15, 2001

Patent No.  
—

Issue Date  
—

Applicant/ Shlomo Melmed, M.D. and Zhiyong Wang, Ph.D.  
Patentee:

Invention: PTTG Knockout Mice As A Model To Study Mechanisms For Various Physiological Phenomena, Including Diabetes

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF ORGANIZATION: Cedars-Sinai Medical Center

ADDRESS OF ORGANIZATION: 8700 Beverly Boulevard  
Los Angeles, CA 90048-1865

**TYPE OF NONPROFIT ORGANIZATION:**

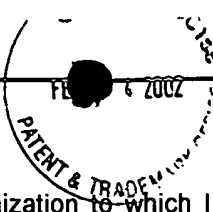
- ☐ University or other Institute of Higher Education
- ☒ Tax Exempt under Internal Revenue Service Code (26 U.S.C. 501(a) and 501(c)(3))
- ☐ Nonprofit Scientific or Educational under Statute of State of The United States of America  
Name of State: Citation of Statute:
- ☐ Would Qualify as Tax Exempt under Internal Revenue Service Code (26 U.S.C. 501(a) and 501(c)(3)) if Located in The United States of America
- ☐ Would Qualify as Nonprofit Scientific or Educational under Statute of State of The United States of America if Located in The United States of America  
Name of State: Citation of Statute:

I hereby declare that the above-identified nonprofit organization qualifies as a nonprofit organization as defined in 37 C.F.R. 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention described in:

- ☐ the specification to be filed herewith.
- ☒ the application identified above.
- ☐ the patent identified above.

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above identified invention.

If the rights held by the above-identified nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed on the next page and no rights to the invention are held by any person, other than the inventor, who could not qualify as an independent inventor under 37 CFR 1.9(c) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).



Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

- ☒ no such person, concern or organization exists.  
☐ each such person, concern or organization is listed below.

**COPY OF PAPERS  
ORIGINALLY FILED**

FULL NAME

ADDRESS

☐

Individual

☐

Small Business Concern

☐

Nonprofit Organization

FULL NAME

ADDRESS

☐

Individual

☐

Small Business Concern

☐

Nonprofit Organization

FULL NAME

ADDRESS

☐

Individual

☐

Small Business Concern

☐

Nonprofit Organization

FULL NAME

ADDRESS

☐

Individual

☐

Small Business Concern

☐

Nonprofit Organization

Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING:

Peter E. Braveman, Esq.

TITLE IN ORGANIZATION:

Senior Vice President of Legal Affairs and Deputy Counsel

ADDRESS OF PERSON SIGNING:

8700 Beverly Boulevard  
Los Angeles, CA 90048-1865

SIGNATURE:

DATE:

1/10/02

**CERTIFICATE OF MAILING BY FIRST CLASS MAIL (37 CFR 1.8)**

Applicant(s): Shlomo Melmed and Zhiyong Wang

Docket No.

18810-81351

Serial No.

09/978,146

Filing Date

10/15/01

Examiner

-Unassigned-

Group Art Unit

-Unassigned-

Invention: **PTTG Knockout Rodent As A Model to Study Mechanisms  
For Various Physiological Phenomena, Including Diabetes**

I hereby certify that this Verified Statement (Decl.) Claiming Small Entity Status (37 CFR 1.9(f) & 1.27(d))  
(Identify type of correspondence)

is being deposited with the United States Postal Service as first class mail in an envelope addressed to: The

Assistant Commissioner for Patents, Washington, D.C. 20231 on

JANUARY 16, 2002

(Date)

SHIRLEY DOW

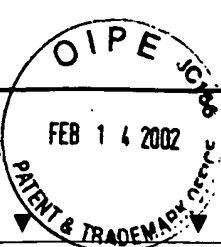
(Typed or Printed Name of Person Mailing Correspondence)

Shirley Dow

(Signature of Person Mailing Correspondence)

COPY OF PAPERS  
ORIGINALLY FILED

Note: Each paper must have its own certificate of mailing.



RECORDATION FORM COVER SHEET

Doc. No.: 18810-81351

U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office

**PATENTS ONLY**

Tab settings → → →

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Shlomo Melmed  
Zhiyong Wang

Additional names(s) of conveying party(ies)

☐ Yes ☒ No

2. Name and address of receiving party(ies):

Name: Cedars-Sinai Medical Center

Address: 8700 Beverly Boulevard

City: Los Angeles

State/Prov.: CA

Country: USA

ZIP: 90048

Additional name(s) & address(es)

☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment

☐ Merger

☐ Security Agreement

☐ Change of Name

☐ Other

Execution Date: January 9, 2002

4. Application number(s) or patent numbers(s):

If this document is being filed together with a new application, the execution date of the application is:

Patent Application No.

Filing date

B. Patent No.(s)

09/978,146

October 15, 2001

Additional numbers

☐ Yes ☐ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Nisan A. Steinberg, Ph.D.

Registration No. 40,345

Address: SIDLEY AUSTIN BROWN & WOOD

555 West Fifth Street

City: Los Angeles

State/Prov.: CA

Country: USA

ZIP: 90013-1010

6. Total number of applications and patents involved:

1

7. Total fee (37 CFR 3.41):.....\$ 40.00

☐ Enclosed - Any excess or insufficiency should be credited or debited to deposit account

☒ Authorized to be charged to deposit account

8. Deposit account number:

# 50-1597

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Nisan A. Steinberg, PhD, Reg. # 40,345

Name of Person Signing

Signature

JANUARY 16, 2002

Date

5

Total number of pages including cover sheet, attachments, and



## ASSIGNMENT

WHEREAS, Shlomo Melmed, 9437 Cresta Drive, Los Angeles, CA 90035, and Zhiyong Wang, 1749 N. Serrano Avenue, Apt. 332, Los Angeles, California 90027, Assignors, have invented a new and useful invention entitled PTTG KNOCKOUT MICE AS A MODEL TO STUDY MECHANISMS FOR VARIOUS PHYSIOLOGICAL PHENOMENA, INCLUDING DIABETES for which an application for United States Letters Utility Patent was filed by them on October 15, 2001, Serial No. 09/978,146 and executed by them on or about the same date as this Assignment; and

WHEREAS, Assignors believe themselves to be the original, first and joint inventors of the invention disclosed and claimed in the application for Letters Patent; and

WHEREAS, CEDARS-SINAI MEDICAL CENTER, a California non-profit organization, having a place of business at 8700 Beverly Boulevard, Los Angeles, California 90048, Assignee, desires to acquire by formal, recordable assignment the entire right, title and interest in and to the invention, the application, and any Letters Patent that might be granted for the invention in the United States and throughout the world;

NOW, THEREFORE, in consideration of the sum of Ten Dollars (\$10.00) and of other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, Assignors hereby sell, assign and transfer to Assignee, the entire right, title and interest in and to the invention, the application, and any Letters Patent that might be granted for the invention in the United States and throughout the world, including the right to file

foreign applications directly in the name of Assignee and to claim for any such foreign applications any priority rights to which such applications are entitled under international conventions, treaties or otherwise.

Further, Assignors agree that, upon request and without further compensation, but at no expense to Assignors, they and their legal representatives and assigns will perform all lawful acts, including the execution of papers and the giving of testimony, that might be necessary or desirable for obtaining, sustaining, reissuing or enforcing Letters Patent in the United States and throughout the world for the invention, and for perfecting, recording or maintaining the title of Assignee, its successors and assigns, to the invention, the application, and any Letters Patent granted for the invention in the United States and throughout the world.

Assignors represent and warrant that they have not granted and will not grant to others any rights inconsistent with any of the terms, conditions, or provisions of this Assignment.

Assignors authorize and request the Commissioner of Patents and Trademarks of the United States and of all foreign countries to issue any Letters Patent granted for the invention, whether on the application or on any subsequently filed division, continuation, continuation-in-part or reissue application, to Assignee, its successors and assigns, as the assignee of the entire interest in the invention.

IN WITNESS WHEREOF, Assignors have executed this Assignment.

Date: 1/9/02

Assignors  
[Signature]  
Shlomo Melmed

Date: 1/9/02

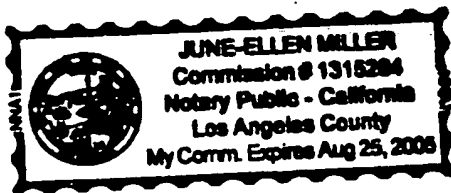
[Signature]  
Zhiyong Wang

State of California

County of Los Angeles ) ss.

On this 9th day of January, in the year of 2002 before me personally appeared **Shlomo Melmed**, personally known to me or proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to this instrument, and acknowledged to me that he executed it.

IN WITNESS WHEREOF, I have hereunto set my hand and affixed my official seal the day and year of this certificate first above written.



[Signature]  
Notary Public in and for Said  
County and State

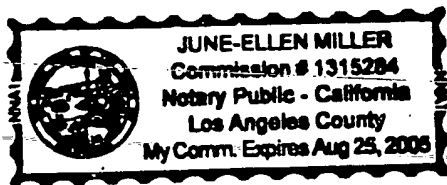
State of California )

County of Los Angeles

) ss.

On this 9<sup>th</sup> day of January, in the year of 2002, before me personally appeared **Zhiyong Wang**, personally known to me or proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to this instrument, and acknowledged to me that he executed it.

IN WITNESS WHEREOF, I have hereunto set my hand and affixed my official seal the day and year of this certificate first above written.



June-Elleen Miller  
Notary Public in and for Said  
County and State

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Shlomo Melmed, M.D. and Zhiyong Wang, Ph.D.  
Serial No.: 09/978,146  
Filed on: October 15, 2001  
Title: PTTG Knockout Mice As A Model To Study Mechanisms For Various  
Physiological Phenomena, Including Diabetes



## CERTIFICATE UNDER 37 C.F.R. 3.73(b) ESTABLISHING RIGHT OF ASSIGNEE TO PROSECUTE

BOX MISSING PARTS  
Assistant Commissioner for Patents  
Washington, D. C. 20231

Dear Sir or Madam:

I HEREBY CERTIFY THAT THIS CORRESPONDENCE IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE AS FIRST CLASS MAIL IN AN ENVELOPE ADDRESSED TO THE ASSISTANT COMMISSIONER FOR PATENTS WASHINGTON, D. C. 20231, ON <u>January 16, 2002</u> DATE	
BY <u>Shirley Dow</u>	<u>January 16, 2002</u>
(DATE OF SIGNATURE)	

## CEDARS-SINAI MEDICAL CENTER

certifies that it is the assignee of the entire right, title and interest in the patent application identified above by virtue of chain of title from the inventor, of the patent application identified above, to the current assignee as shown below:

From: Shlomo Melmed, M.D. and Zhiyong Wang, M.D.

To: CEDARS-SINAI MEDICAL CENTER

The document is being filed herewith with the Patent and Trademark Office. A copy thereof is attached.

The undersigned (whose title is supplied below) is empowered to sign this certificate on behalf of the assignee.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further, that these statements are made with the knowledge that willful false statements, and the like so made, are punishable by fine or imprisonment, or both, under Section 1001, Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Date: 1/10/02

Name: Peter E. Braveman, Esq.

Title: Senior Vice President of Legal Affairs and Deputy Counsel

Signature: [Signature]

**CERTIFICATE OF MAILING BY FIRST CLASS MAIL (37 CFR 1.8)**

Applicant(s): Shlomo Melmed and Zhiyong Wang

Docket No.

18810-81351

Serial No.

09/978,146

Filing Date

10/15/01

Examiner

-Unassigned-

Group Art Unit

-Unassigned-

Invention: **PTTG Knockout Rodent As A Model to Study Mechanisms  
For Various Physiological Phenomena, Including Diabetes**

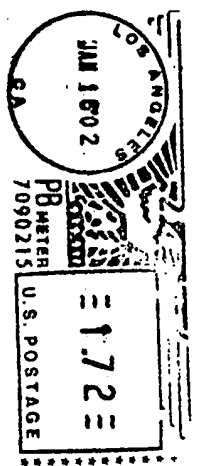
COPY OF PAPERS  
ORIGINALLY FILED

I hereby certify that this **RECORDATION FORM COVER SHEET and ASSIGNMENT***(Identify type of correspondence)*

is being deposited with the United States Postal Service as first class mail in an envelope addressed to: The

Assistant Commissioner for Patents, Washington, D.C. 20231 on

**JANUARY 16, 2002***(Date)***SHIRLEY DOW***(Typed or Printed Name of Person Mailing Correspondence)**(Signature of Person Mailing Correspondence)***Note: Each paper must have its own certificate of mailing.**



SIDLEY AUSTIN BROWN & WOOD

555 WEST FIFTH STREET  
LOS ANGELES, CALIFORNIA 90013

TO

BOX MISSING PARTS  
Assistant Commissioner for Patents  
Washington, D.C. 20231

